

PTO/SB/08A

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

**Complete if Known**

Application Number 09/911,683

Filing Date July 24, 2001

Confirmation Number 4375

First Named Inventor Gerrit Klaerner

Group Art Unit 1641

Examiner Name

~~Gary W. Counts~~ Ceperley

Sheet

1

of

12

Attorney Docket No.

SMX 3093.3 (99-100D1)

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
mac	1	4,581,429		Solomon et al.	04-08-1986
mac	2	4,946,778		Ladner et al.	08-07-1990
mac	3	4,973,493		Guire	11-27-1990
mac	4	5,002,582		Guire et al.	03-26-1991
mac	5	5,030,697		Hugl et al.	07-09-1991
mac	6	5,126,021		Grossman	06-30-1992
mac	7	5,143,854		Pirrung et al.	09-01-1992
mac	8	5,217,492		Guire et al.	06-08-1993
mac	9	5,240,602		Hammen	08-31-1993
mac	10	5,258,454		Berg et al.	11-02-1993
mac	11	5,424,186		Fodor et al.	06-13-1995
mac	12	5,436,327		Southern et al.	07-25-1995
mac	13	5,445,934		Fodor et al.	08-29-1995
mac	14	5,480,723		Klainer et al.	01-02-1996
mac	15	5,512,329		Guire et al.	04-30-1996

Examiner  
Signature

Mary E. Ceperley

Date  
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05/15/03

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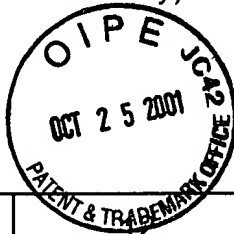
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			Confirmation Number	4375
			First Named Inventor	Gerrit Klaerner
			Group Art Unit	1641
			Examiner Name	Gary W. Counts <i>Ceperley</i>
Sheet	2	of	Attorney Docket No. SMX 3093.3 (99-100D1)	



<i>mac</i>	16	5,512,439		Hornes et al.	04-30-1996
<i>mac</i>	17	5,530,079		Veregin et al.	06-25-1996
<i>mac</i>	18	5,539,082		Nielsen et al.	07-23-1996
<i>mac</i>	19	5,624,711		Sundberg et al.	04-29-1997
<i>mac</i>	20	5,677,195		Winkler et al.	10-14-1997
<i>mac</i>	21	5,700,637		Southern	12-23-1997
<i>mac</i>	22	5,744,305		Fodor et al.	04-28-1998
<i>mac</i>	23	5,753,439		Smith et al.	05-19-1998
<i>mac</i>	24	5,770,456		Holmes	06-23-1998
<i>mac</i>	25	5,800,992		Fodor et al.	09-01-1998
<i>mac</i>	26	5,807,522		Brown et al.	09-15-1998
<i>mac</i>	27	5,824,473		Maede et al.	10-20-1998
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<i>mac</i>	29	5,846,724		Bensimon et al.	12-08-1998
<i>mac</i>	30	5,858,653		Duran et al.	01-12-1999
<i>mac</i>	31	5,868,938		Bomer et al.	02-09-1999
<i>mac</i>	32	5,872,003		Koster	02-16-1999
<i>mac</i>	33	5,902,723		Dower et al.	05-11-1999
<i>mac</i>	34	5,919,523		Sundberg et al.	07-06-1999
<i>mac</i>	35	5,919,626		Shi et al.	07-06-1999

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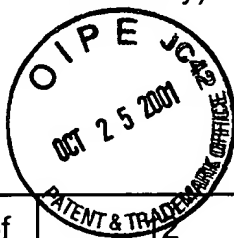
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<i>mac</i>	36	5,932,711		Boles et al.	08-03-1999
<i>mac</i>	37	5,942,555		Swanson et al.	08-24-1999
<i>mac</i>	38	5,998,140		Dervan et al.	12-07-1999
<i>mac</i>	39	6,004,755		Wang	12-21-1999
<i>mac</i>	40	6,013,440		Lipshutz et al.	01-11-2000
<i>mac</i>	41	6,018,041		Drmanac et al.	01-25-2000
<i>mac</i>	42	6,027,880		Cronin et al.	02-22-2000
<i>mac</i>	43	6,040,138		Lockhart et al.	03-21-2000
<i>mac</i>	44	6,040,193		Winkler et al.	03-21-2000
<i>mac</i>	45	6,043,080		Lipshutz et al.	03-28-2000
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<i>mac</i>	47	6,054,270		Southern	04-25-2000
<i>mac</i>	48	6,057,100		Heyneker	05-02-2000
<i>mac</i>	49	6,077,674		Schleifer et al.	06-20-2000
<i>mac</i>	50	6,083,697		Beecher et al.	07-04-2000
<i>mac</i>	51	6,087,102		Chenchik et al.	07-11-2000
<i>mac</i>	52	6,087,112		Dale	07-11-2000
<i>mac</i>	53	6,087,186		Cargill et al.	07-11-2000
<i>mac</i>	54	6,100,026		Nova et al.	08-08-2000

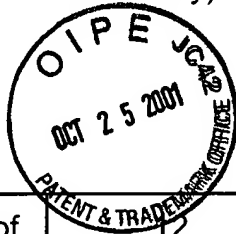
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FOREIGN PATENT DOCUMENTS							
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		Office	Number <sup>4</sup>	Kind Code <sup>2</sup> (if known)			
<i>mac</i>	55	WO	89/02449	A1	Thies Karsten, Heuck Claus-Christian	03-23-1989	
<i>mac</i>	56	WO	90/05303	A1	Pharmacia AB	05-17-1990	
<i>mac</i>	57	WO	96/24620	A1	Elf Atochem S.A.	08-15-1996	
<i>mac</i>	58	WO	97/41425	A1	Pence, Inc.; McGill University	11-06-1997	
<i>mac</i>	59	WO	98/30601	A2	E.I. Du Pont De Nemours & Co.	07-16-1998	
<i>mac</i>	60	WO	99/03894	A1	Ciba Specialty Chemicals Holding, Inc.	01-28-1999	
<i>mac</i>	61	WO	99/06425	A1	Corning Incorporated	02-11-1999	
<i>mac</i>	62	WO	99/36571	A2	Biochip Technologies, GMBH	07-22-1999	
<i>mac</i>	63	WO	99/61653	A2	Syntrix Biochip	12-02-1999	
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<i>mac</i>	65	WO	00/33084	A2	Syntrix Biochip, Inc.	06-08-2000	
<i>mac</i>	66	WO	00/43539	A2	Biochip Technologies, GMBH	07-27-2000	
<i>mac</i>	67	EP	0 205 232	A1	Kelsius, Inc.	12-17-1986	

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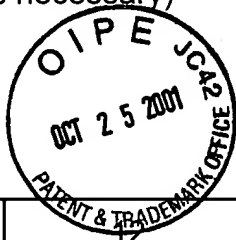
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<i>mac</i>	68	EP	0 361 229	A2	Bayer AG	07-09-1991	
<i>mac</i>	69	EP	0 780 408	A2	Bayer AG	02-09-1999	
<i>mac</i>	70	EP	1 035 218	A1	BioChip Technologies, GmbH	09-13-2000	
<i>mac</i>	71	EP	1 081 163	A1	Affymetrix, Inc.	03-07-2001	

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.					T <sup>6</sup>
<i>mac</i>	72	ANDERS et al. "Surface Modification with Hydrogels via Macroinitiators for Enhanced Friction Properties of Biomaterials" J.M.S. - Pure Appl. Chem. Vol. A36, Nos. 7&8 (1999) pp. 1017-1029.					
<i>mac</i>	73	BAKER et al. "Structure of Polymer Brushes Under Shear Flow in a Good Solvent" Macromolecules, Vol. 33, No. 4 (2000) pp. 1120-1122.					
<i>mac</i>	74	BENOIT et al. "Development of a Universal Alkoxyamine for "Living" Free Radical Polymerizations" Journal of the American Chemical Society, Vol. 121, No. 16 (1999) pp. 3904-3920					
<i>mac</i>	75	BERGBREITER et al. "Meisenheimer Rearrangement of Allyl N-Oxides as a Route to Initiators for Nitroxide-Mediated "Living" Free Radical Polymerizations" Macromolecules, Vol. 31, No. 18 (1998) pp. 6380-6382.					
<i>mac</i>	76	BIESALSKI et al. "Preparation and Characterization of a Polyelectrolyte Monolayer Covalently Attached to a Planar Solid Surface" Macromolecules, Vol. 32, No. 7 (1999) pp. 2309-2316.					
<i>mac</i>	77	BOVEN et al. "Radical Grafting of Poly(methyl methacrylate) onto Silicon Wafers, Glass Slides and Glass Beads" Polymer Communications, Vol. 32, No. 2 (1991) pp. 50-53.					
<i>mac</i>	78	CHAN et al. "The Biophysics of DNA Hybridization with Immobilized Oligonucleotide Probes" Biophysical Journal, Vol. 69, No. 6 (1995) pp. 2243-2255.					

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<i>MAC</i>	79	CHEUNG et al. "Making and Reading Microarrays" Nature Genetics Supplement, Vol. 21 (1/1999) pp. 15-19.	
<i>MAC</i>	80	COLE et al. "The EBV-Hybridoma Technique and Its Application to Human Lung Cancer" Monoclonal Antibodies and Cancer Therapy, Alan R. Liss, Inc. (1985) pp. 77-96.	
<i>MAC</i>	81	COTE et al. "Generation of Human Monoclonal Antibodies Reactive with Cellular Antigens" Proceedings of the National Academy of Sciences" Vol. 80, No. 7 (4/1983) pp. 2026-2030.	
<i>MAC</i>	82	de BOER et al. "'Living" Free Radical Photopolymerization Initiated from Surface-Grafted Iniferter Monolayers" Macromolecules, Vol. 33, No. 2 (2000) pp. 349-356.	
<i>MAC</i>	83	DHAR et al. "Modification of Silica Surfaces Using Surface Initiated Polymerization" Abstracts of Papers, Part 2, 215th ACS National Meeting, Dallas, TX (1998) Abstract No. 147.	
<i>MAC</i>	84	FISCHER "The Persistent Radical Effect In "Living" Radical Polymerization" Macromolecules, Vol. 30, No. 19 (1997) pp. 5666-5672.	
<i>MAC</i>	85	GLAZER "Phycobilisomes: Structure and Dynamics" Annual Review of Microbiology, Vol. 36 (1982) pp. 173-198.	
<i>MAC</i>	86	GRABAREK et al. "Zero-Length Crosslinking Procedure with the Use of Active Esters" Analytical Biochemistry, Vol. 185 (1990) pp. 131-135.	
<i>MAC</i>	87	HARRISON et al. "Reducing Substrate Pinning of Block Copolymer Microdomains with a Buffer Layer of Polymer Brushes" Macromolecules, Vol. 33, No. 3 (2000) pp. 857-865.	
<i>MAC</i>	88	HAWKER et al. "Accurate Control of Chain Ends by a Novel "Living" Free-Radical Polymerization Process" Macromolecules, Vol. 28, No. 8 (1995) pp. 2993-2995.	
<i>MAC</i>	89	HAWKER "Architectural Control in "Living" Free Radical Polymerizations: Preparation of Star and Graft Polymers" Angew. Chem. Int. Ed. Engl., Vol. 34, No. 13/14 (1995) pp. 1456-1459.	
<i>MAC</i>	90	HAWKER et al. "Initiating Systems for Nitroxide-Mediated "Living" Free Radical Polymerizations: Synthesis and Evaluation" Macromolecules, Vol. 29, No. 16 (1996) pp. 5245-5254.	
<i>MAC</i>	91	HAWKER et al. "Manipulation of Surface Properties Using Novel Grafted Copolymer Brushes and Surface Initiated Polymerization" Polymer Preprints, Vol. 40, No. 2 (8/1999) p. 101.	

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<i>mac</i>	92	HAWKER et al. "Manipulation of Surface Properties Using Novel Grafted Copolymer Brushes and Surface-Initiated Polymerization" 218th ACS National Meeting, Abstracts of Papers, Part 2, New Orleans, LA (8/1999) Abstract 345-POLY.	
<i>mac</i>	93	HAWKER et al. "Synthesis and Application of Functionalized Specialty Polymers Using 'Living' Free Radical Procedures" Polymer Preprints, Vol. 39, No. 1 (3/1998) pp. 626-627.	
<i>mac</i>	94	HENDRICKSON et al. "Crystal Structure of Core Streptavidin Determined from Multiwavelength Anomalous Diffraction of Synchrotron Radiation" Proceedings of the National Academy of Sciences USA, Vol. 86, No. 7 (4/1989) pp. 2190-2194.	
<i>mac</i>	95	HERTLER et al. "Group-Transfer Polymerization on a Polymeric Support" Macromolecules, Vol. 23, No. 5 (1990) pp. 1264-1268.	
<i>mac</i>	96	HIGASHI et al. "High-Spatioresolved Microarchitectural Surface Prepared by Photograft Copolymerization Using Dithiocarbamate: Surface Preparation and Cellular Responses" Langmuir, Vol. 15, No. 6 (1999) pp. 2080-2088.	
<i>mac</i>	97	HODGES et al. "Preparation of Designer Resins via Living Free Radical Polymerization of Functional Monomers on Solid Support" J. Comb. Chem., Vol. 2, No. 1 (2000) pp. 80-88.	
<i>mac</i>	98	HOSOYA et al. "In Situ Surface-Selective Modification of Uniform Size Macroporous Polymer Particles with Temperature-Responsive Poly-N-isopropylacrylamide" Macromolecules, Vol. 27, No. 14 (1994) pp. 3973-3976.	
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<i>mac</i>	100	HUANG et al. "Neutrality Conditions for Block Copolymer Systems on Random Copolymer Brush Surfaces" Macromolecules, Vol. 32, No. 16 (1999) pp. 5299-5303.	
<i>mac</i>	101	HUANG et al. "Surface-Initiated Radical Polymerization on Porous Silica" Analytical Chemistry, Vol. 69, No. 22 (1997) pp. 4577-4580.	
<i>mac</i>	102	HUANG et al. "Surface Initiation of Living Radical Polymerization for Growth of Tethered Chains of Low Polydispersity" Macromolecules, Vol. 32, No. 5 (1999) pp. 1694-1696.	

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		First Named Inventor	Gerrit Klaerne
		Group Art Unit	1641
		Examiner Name	Gary W. Counts <i>Casperley</i>
Sheet 8 of 12	Attorney Docket No.	SMX 3093.3 (99-100D1)	



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<i>mac</i>	103	HUANG et al. "Using Surface Active Random Copolymers to Control the Domain Orientation in Diblock Copolymer Thin Films" Macromolecules, Vol. 31, No. 22 (1998) pp. 7641-7650.	
<i>mac</i>	104	HUSE et al. "Generation of a Large Combinatorial Library of the Immunoglobulin Repertoire in Phage Lambda" Science, Vol. 246, No. 4935 (12/1989) pp. 1275-1281.	
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<i>mac</i>	106	HUSEMANN et al. "Manipulation of Surface Properties by Patterning of Covalently Bound Polymer Brushes" Journal of the American Chemical Society, Vol. 122, No. 8 (2000) pp. 1844-1845.	
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Examiner Signature	<i>Mary E. Casperley</i>	Date Considered	05/15/03
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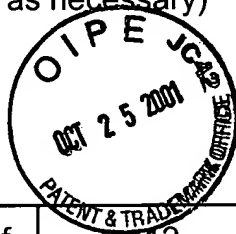
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Sheet	9	of	12	Attorney Docket No.	SMX 3093.3 (99-100D1)



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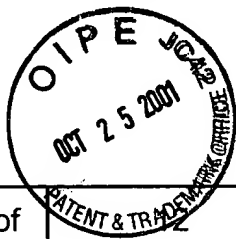
Examiner Signature	<i>Mary E. Casperley</i>	Date Considered	05/15/03
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			Examiner Name	Gary W. Counts
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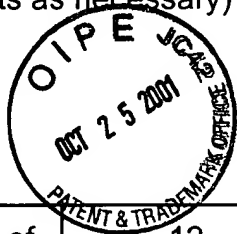
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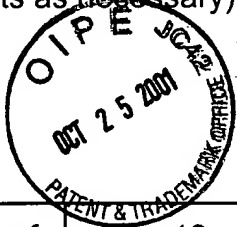
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mac	153	WANG et al. "Facile Synthesis of New Unimolecular Initiators for Living Radical Polymerizations" Macromolecules, Vol. 31, No. 19 (1998) pp. 6727-6729.	
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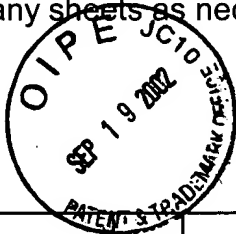
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U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
<i>MJC</i>	161	5,843,655		McGall	12-01-1998
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.			T <sup>6</sup>
<i>MJC</i>	162	Y-C. CHANG et al. "Surface Initiated Polymerization of Polyglutamate Copolymers" Abstract 304, Presented at the 209th ACS National Meeting in Anaheim, CA (April 2-7, 1995).			
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<i>MJC</i>	165	Y-C. CHANG et al. "Surface Polymerization of Poly(y-Alkyl-L-Glutamate) on Solid Substrates" Macromolecular Symposia, Vol. 118 (1997) pp. 641-646.			
<i>MJC</i>	166	Y-C. CHANG Website at The Henry Samueli School of Engineering, homepage (2 pages) and Publications List (5 pages) printed 9/17/02.			

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